

2877

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Robert K. Rowe et al.

Serial No.: 09/832,631

Examiner: Unknown

Filed: April 11, 2001

Group Art Unit: 2877

For: ENCODED VARIABLE FILTER SPECTROMETER

Docket No.: 1023.1123101



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**TRANSMITTAL SHEET**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 10th day of October, 2001.

By

*David M. Crompton*  
David M. Crompton

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CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X9=	\$	X18=	\$
INDEPENDENT CLAIMS	-	=		X40=	\$	X80=	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+135=	\$	+270=	\$
TOTAL				\$		\$	

- [ ] A check in the amount of \$\_\_\_\_\_ is enclosed.
- [ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [ XX ] Other: INFORMATION DISCLOSURE STATEMENT, FORM PTO-1449 AND CITED REFERENCES.
- [XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: \_\_\_\_\_

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

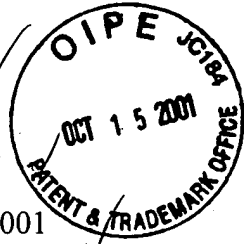
Robert K. Rowe et al.

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Examiner: Unknown

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**INFORMATION DISCLOSURE STATEMENT**

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By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

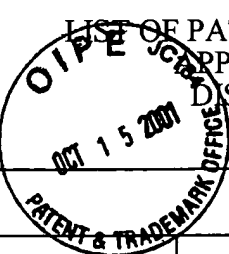
Respectfully submitted,

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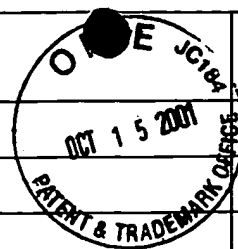
Dated: 10/10/01

<b>FORM PTO-1449</b>		Atty. Docket No.: 1023.1123101	Serial No.: 09/832,631
 <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p>		Applicant: Robert K. Rowe et al.	
		Filing Date	Group Art:
		April 11, 2001	2877 2872

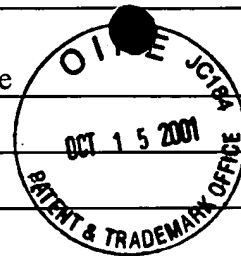
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AB	CNC 4,035,083	07/12/1977	Woodruff et al.	
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AF	CNC 4,427,889	01/24/1984	Muller	
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BJ	CNC	5,178,142	01/12/1993	Harjunmaa et al.		
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EK	CNC	6,040,578	03/21/2000	Malin et al.		
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FP <i>CNC</i>	09/832,586		Johnson	04/11/2001

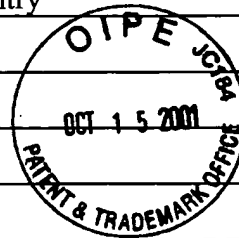


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	Document No.	Date	Country	Translation Yes No
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FU <i>CNC</i>	EP 0 631 137 A2	12/28/1994	EPO	
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GD	CNC	EP 0 897 691 A2 /	02/24/1999	EPO	
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GF	CNC	EP 0 990 945 A1 /	04/05/2000	EPO	
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GI	CNC	WO 93/00855	01/21/1993	PCT	
GJ	CNC	WO 93/07801	04/29/1993	PCT	
GK	CNC	WO 95/22046	08/17/1995	PCT	
GL	CNC	WO 97/23159	07/03/1997	PCT	
GM	CNC	WO 97/27800	08/07/1997	PCT	
GN	CNC	WO 97/28437	08/07/1997	PCT	
GO	CNC	WO 97/28438	08/07/1997	PCT	
GP	CNC	WO 98/01071	01/15/1998	PCT	
GQ	CNC	WO 98/37805	09/03/1998	PCT	
GR	CNC	WO 98/40723	09/17/1998	PCT	
GS	CNC	WO 99/09395	02/25/1999	PCT	
GT	CNC	WO 99/37203	07/29/1999	PCT	
GU	CNC	WO 99/43255	09/02/1999	PCT	
GV	CNC	WO 99/46731	09/19/1999	PCT	
GW	CNC	WO 99/55222	11/04/1999	PCT	
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HL	CNC	Geladi, Paul et al., "A Multivariate NIR Study of Skin Alterations in Diabetic Patients as Compared to Control Subjects," <u>J. Near Infrared Spectrosc.</u> , vol. 8 (2000) pp. 217-227.
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HU	CNC	Khalil, Omar S., "Spectroscopic and Clinical Aspects of Noninvasive Glucose Measurements," <u>Clinical Chemistry</u> , 45:2 (1999) pp. 165-177.
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